

AREA Clear Lake	DIVISION Northern	NUMBER 7
EVALUATED BY Sergeant W. D. Holcomb		DATE 02/17/2010

**INSTRUCTIONS:** Indicate items reviewed by placing a check in the "Evaluated" box and/or the "Action Required" box. If this form is used as a Correction Report, the "Correction" box should be initialed and dated as deficiencies are corrected. Answer individual items with "yes" or "no" answers, or fill in the blanks as indicated. If additional comments are necessary, the information can be placed on the CHP 454, Area Management Evaluation Supplement. The Supplement should include significant findings, accomplishments or corrective actions, unresolved items, problems or progress, and the evaluator's overall impressions. This form can be completed in pen or pencil, and the Supplement can be handwritten if desired.

TYPE OF EVALUATION <input type="checkbox"/> Formal Evaluation <input checked="" type="checkbox"/> Informal Evaluation		SUSPENSE DATE	
FOLLOW-UP REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		COMMANDER'S REVIEW 	DATE 02-17-10
BY		EVALUATED Yes	ACTION REQUIRED No
		CORRECTED	

## 1. GENERAL

- a. Does the Area work force consist of employees, supervisors and managers who support the principles addressed in GO 0.8, Professional Values? ☒ Yes ☐ No
- (1) Are the employees capable of performing and maintaining essential services to the public? ☒ Yes ☐ No
- (2) Are upward mobility and career development programs and training available to interested employees? ☒ Yes ☐ No
- b. Do supervisors at all levels assume responsibility for the development and training of their employees? ☒ Yes ☐ No
- (1) Do supervisors review and assess specific training needs with employees annually? ☒ Yes ☐ No
- (a) Is this review done in conformance with the departmental Out-Service Training Plan? ☒ Yes ☐ No
- c. Do employees assist in their training assessment by helping supervisors identify their strengths and weaknesses? ☒ Yes ☐ No
- (1) Do employees seek information on training opportunities to improve their job performance? ☒ Yes ☐ No
- (2) Do employees initiate their own career development plan? ☐ Yes ☒ No
- (3) Do employees utilize the knowledge, skills, and abilities they have acquired through training? ☒ Yes ☐ No

## 2. LIEUTENANTS (OTHER THAN COMMANDERS)

EVALUATED No	ACTION REQUIRED No	CORRECTED
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- a. What are the commander's plans for developing Area lieutenants?
- (1) Are the plans in writing? ☐ Yes ☐ No
- (2) Is there meaningful guidance, direction, and assistance provided to lieutenants in the formulation of their individual career development plans? ☐ Yes ☐ No
- (3) Does the commander work with the lieutenants to structure a development plan that provides job experience that will contribute most to the accomplishment of both the lieutenant's career goals and those of the Department? ☐ Yes ☐ No
- (a) Do the lieutenants have a career development plan based on their assessment center follow-up reports? ☐ Yes ☐ No
- (b) Does the commander use the lieutenant's career development plan to structure needed training and make meaningful comments on annual performance reports? ☐ Yes ☐ No
- (5) Are lieutenants encouraged to participate in self-initiating activities such as continuing college-level education, public speaking training (e.g., Toastmasters), professional and community organization affiliation, etc.? ☐ Yes ☐ No

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(6) Do lieutenants' annual evaluations contain comments on their managerial potential and their desires on upward mobility? ☐ Yes ☐ No

(a) How does the commander train the lieutenants for command responsibility?

(b) Are the lieutenants submitting completed staff work? ☐ Yes ☐ No

(c) Are the lieutenants involved in coordination with other agencies in the criminal justice system? ☐ Yes ☐ No

(d) Are the lieutenants participating in Headquarters career development assignments? ☐ Yes ☐ No

b. Are lieutenants given freedom to manage their respective operations? ☐ Yes ☐ No

(1) Are the lieutenants effective supervisors? ☐ Yes ☐ No

(2) Are the lieutenants developing managerial skills in subordinate supervisors? ☐ Yes ☐ No

(3) Are the lieutenants well-organized in their work? ☐ Yes ☐ No

(a) Do they maintain files to assist in evaluations? ☐ Yes ☐ No

(b) Do they plan and make effective use of time? ☐ Yes ☐ No

(c) Do they work closely with subordinates? ☐ Yes ☐ No

(d) Do they foresee problems and plan for them? ☐ Yes ☐ No

(e) Do they have an "open door" policy that does not circumvent the sergeant's authority? ☐ Yes ☐ No

### 3. SERGEANTS

EVALUATED  
Yes

ACTION REQUIRED  
No

CORRECTED

a. Is the sergeant's role as an essential member of the command's management team well-defined and understood? ☒ Yes ☐ No

(1) Does Area use the sergeant as part of the management team and ensure all have a good understanding of and agree on priorities? ☒ Yes ☐ No

(a) Do the sergeants maximize their on-the-road field supervision time? ☒ Yes ☐ No

(b) Do the sergeants properly apply management philosophies and supervisory skills? ☒ Yes ☐ No

(c) Do the sergeants promote a positive environment conducive to counseling and motivating subordinates? ☒ Yes ☐ No

(2) Do the sergeants assist in the development of their subordinates? ☒ Yes ☐ No

(a) After officers with supervisory potential are identified, what is done to develop that potential? These officers are trained and utilized as Area Officers in Charge. Officers are provided motivation and assistance throughout the promotional process.

(3) Are the sergeants able to direct the activities of subordinates to accomplish Area and departmental goals? ☒ Yes ☐ No

(a) Do the sergeants' actions show a willingness to become involved? ☒ Yes ☐ No

(b) Do the sergeants know when to act, when to delegate, and when to refer to a superior? ☒ Yes ☐ No

(4) Are sergeants available at the beginning and at the end of shift in the office, and in the field during shift? ☒ Yes ☐ No

(a) If on an alternate workweek, are the sergeants able to provide adequate supervisory coverage? **N/A** ☐ Yes ☐ No

(5) Is there an established system for sergeants' ride-alongs? ☒ Yes ☐ No

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(a) Are sergeants conducting ride-alongs as required? ☒ Yes ☐ No

(b) How are ride-alongs documented? CHP 100 form

(6) Is there a written order addressing supervisory observation of court testimony and the courtroom demeanor of officers? ☐ Yes ☒ No

(a) How is courtroom observation documented? CHP 100 form

(b) Has courtroom procedures/testimony training been provided for officers? ☒ Yes ☐ No

(7) What policy does Area have for review of reports? Area has a Collision review officer and sergeants review all enforcement documents/reports. The Area commander reviews all fatal and major arrest reports.

(a) How often do sergeants review and, if necessary, discuss reports with officers? Daily.

(b) If special duty officers review reports, are deficient and/or superior reports brought to the attention of the supervisors? ☒ Yes ☐ No

(c) Do supervisors utilize matrix reports as well as hands-on inspection of documents? ☒ Yes ☐ No

(8) Do sergeants respond to incidents involving damage to state equipment or injury to personnel? ☒ Yes ☐ No

(a) Do they assist with felony arrests or respond to physical arrest incidents? ☒ Yes ☐ No

(b) Do they respond to specific types of accidents? (If yes, specify.) ☒ Yes ☐ No

Major injury and fatal collisions, big rig involved collisions and collisions involving hazardous material spills.

(c) What role do sergeants assume at accident scenes? Incident commander.

(d) Are sergeants aware of MAIT call-out criteria? ☒ Yes ☐ No

(e) How many times has a sergeant been "called-out" to an accident in the past year? Average 6 times per sergeant per year.

(9) Are daily briefings held for each shift? ☒ Yes ☐ No

(a) Are briefings interesting and meaningful, with the supervisor in control? ☒ Yes ☐ No

(b) How are briefing items and attendance documented and filed for future reference? Briefing book log, CHP 160's, and daily schedule and equipment log.

(c) How are special duty officers briefed? They participate in shift briefing and weekly meeting with special duty sergeant.

(10) What methods do sergeants use to plan their goals for the month (e.g., planning calendar)? Monthly/daily planning calendars or computerized planning calendars.

(11) Do sergeants participate in Public Affairs activities? ☒ Yes ☐ No

(a) Have they received public speaking training from their commander? ☐ Yes ☒ No

(12) Do newly promoted or transferred sergeants receive proper orientation? ☒ Yes ☐ No

(13) Do the sergeants have a good working knowledge of policies and procedures affecting their assignment? ☒ Yes ☐ No

# AREA MANAGEMENT EVALUATION

## SUPERVISION AND TRAINING

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(a) How do sergeants keep current on additions or revisions to policy? Management Memorandums, MIS, Email notifications, information brought forward from DACC's.

(b) Are the sergeants knowledgeable about current topics such as collective bargaining, affirmative action, civil liability, etc.?

☒ Yes ☐ No

(c) Do the sergeants expedite training/briefing of recent changes for subordinates?

☒ Yes ☐ No

### 4. OFFICERS

EVALUATED	ACTION REQUIRED	CORRECTED
Yes	No	

a. Does Area have a formal orientation training program?

☒ Yes ☐ No

(1) Does a supervisor oversee this program?

☒ Yes ☐ No

(2) Are departmental guidelines followed for field orientation training?

☒ Yes ☐ No

(3) Are Area field training officers (FTOs) departmentally qualified?

☒ Yes ☐ No

b. Did Area adequately identify their needs when planning their training program?

☒ Yes ☐ No

(1) Has an effective training program plan been developed?

☒ Yes ☐ No

(a) Does it reflect both current and future needs?

☒ Yes ☐ No

(b) Is training scheduled far enough ahead to assure continuity, yet flexible enough for changing needs?

☒ Yes ☐ No

(c) Are plans regularly updated?

☒ Yes ☐ No

(2) Who is responsible for training? Training sergeant and officers certified in specialized training programs.

(a) Is this person effective?

☒ Yes ☐ No

(b) Are guest speakers and other instructors regularly scheduled?

☒ Yes ☐ No

(c) Are critiques used to ensure only the best presentations are scheduled?

☒ Yes ☐ No

(d) How does Area identify personnel whose expertise may qualify them as an instructor? By choosing departmentally trained instructors or professionally certified instructors meeting departmental or POST requirements.

(3) What methods are used by Area to establish training needs? All departmentally offered training is briefed to solicit interest.

Officers are encouraged to submit memorandums of interest for any future training they desire/require to the Area training sergeant.

(a) Do training topics appear relevant?

☒ Yes ☐ No

(b) Are training results objectively evaluated on a regular basis?

☒ Yes ☐ No

c. Who is responsible for specialized training with the Area? Training sergeant and officers certified in specialized training programs.

(1) Are all officers proficient with cameras?

☒ Yes ☐ No

(a) If not, are enough trained to meet operational needs?

☒ Yes ☐ No

(b) Is refresher training provided periodically?

☒ Yes ☐ No

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(c) Who reviews photographs when they are returned? Officer's that actually make the photographs and collision review officer or report reviewing sergeant.

(d) Is a specific individual responsible for camera maintenance? ☒ Yes ☐ No

(2) Is one specific person responsible for Defensive Driver Training? ☐ Yes ☒ No

(a) Has Area complied with driver training requirements outlined in HPM 10.6, Occupational Safety Manual? ☒ Yes ☐ No

(3) Are there any special needs in the Area? ☒ Yes ☐ No

(a) If so, has any special training been provided in those areas? ☒ Yes ☐ No

(4) Are all officers currently certified in CPR? ☒ Yes ☐ No

(a) Is annual training conducted on schedule? ☒ Yes ☐ No

d. Is one specific person responsible for training records? ☒ Yes ☐ No

(1) Is a training chart utilized to record all training conducted in the Area? ☐ Yes ☒ No

(2) If a training chart is not used, what type of system is utilized by the Area? Computerized training records.

(3) Are In-Service training records complete and current? ☐ Yes ☒ No

(a) Have officers new to the Area been added to the records? ☒ Yes ☐ No

(4) Are records of individual officers current? ☒ Yes ☐ No

**5. NONUNIFORMED**

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. What special training has been planned for nonuniformed employees? None, departmental training only.

b. Is there a planned orientation for new employees? ☒ Yes ☐ No

(1) Is the departmental orientation guide for new employees being utilized? ☐ Yes ☒ No

(2) Have new employees reviewed the video, "Spirit of Excellence"? ☐ Yes ☒ No

**6. EVALUATION PROCESS**

EVALUATED

Yes

ACTION REQUIRED

No

CORRECTED

a. What methods are utilized to assure sergeants have sufficient supervision time with the officers they evaluate? Commander observations and interaction, assures monthly sergeant scheduling meets Area needs.

(1) Are evaluation assignments equitable? ☒ Yes ☐ No

(2) Are evaluations done on schedule? ☒ Yes ☐ No

(3) How do lieutenants record their observations of the sergeants' critical task performance? CHP 112

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b. What records do the supervisors keep on the employees they supervise? Monthly and yearly evaluations (CHP 100's & 118's), personnel files.

(1) Are significant matters recorded and filed regularly to provide a basis for evaluations? ☒ Yes ☐ No

(a) Do records have a good balance of positive and negative comments? ☒ Yes ☐ No

(2) Do all documents and comments comply with the Peace Officers' Bill of Rights? ☒ Yes ☐ No

(3) Do all supervisors contribute to the records? ☒ Yes ☐ No

(4) Are similar records kept of supervisor's efforts? ☒ Yes ☐ No

c. Are evaluations realistic, objective, and meaningful? ☒ Yes ☐ No

(1) Are evaluations consistent in the rating process? ☒ Yes ☐ No

(2) Is there continuous and thorough documenting of performance at all command levels? ☒ Yes ☐ No

(3) Do employees feel their evaluations assist them? ☒ Yes ☐ No

(4) Are comments in the evaluation in keeping with their overall importance? Yes ☐ Yes ☐ No

(5) Is the performance objective monitored, with proper recognition given? ☒ Yes ☐ No

(6) Does the Area have a procedure to test the effectiveness of evaluations? ☐ Yes ☒ No

(7) Is the commander satisfied with the Area's evaluation process? ☒ Yes ☐ No

(8) Does the commander have a clear understanding of his/her role in the performance appraisal process? ☒ Yes ☐ No

**7. INTERIM REPORTS**

EVALUATED  
Yes

ACTION REQUIRED  
No

CORRECTED

a. Are interim reports utilized as appropriate? ☒ Yes ☐ No

(1) Do supervisors understand the procedures for issuing them? ☒ Yes ☐ No

(2) Were all other appropriate supervisory techniques used without positive results prior to implementing interim reporting? ☒ Yes ☐ No

b. Are interim reports periodically updated and discussed with the employee? ☒ Yes ☐ No

(1) Do interim reports discuss the problem(s) in specifics and establish performance objectives? ☒ Yes ☐ No

(2) Are definite methods outlined to achieve satisfactory performance? ☒ Yes ☐ No

(3) Are controls and follow-up present? ☒ Yes ☐ No

(4) Is the plan of action fully discussed with the employee? ☒ Yes ☐ No

(5) If satisfactory performance is not achieved within the specified time frames, is further corrective action taken? ☒ Yes ☐ No

**8. INCIDENT REPORTS (CHP 2)**

EVALUATED  
Yes

ACTION REQUIRED  
No

CORRECTED

a. Are local controls over CHP 2s reasonable? ☒ Yes ☐ No

(1) Who can issue them? Sergeants, only with commander approval.

(2) How are they filed? Personnel file

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(3) Are they available for supervisor's review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Who assures a proper relationship in the recognition of commendable and censurable incidents? <i>COMMANDER</i>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Are incident reports properly worded?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Do they state the subject in plain, concise language?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) When appropriate, do they set goals and provide meaningful direction?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Do they accomplish their purpose?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
c. Does the Area have an alternative way to document good work and minor deviations supplemental to the incident report?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

**9. ATTITUDES AND DISCIPLINE**

EVALUATED	ACTION REQUIRED	CORRECTED
Yes	No	

a. How do employees really feel about their work, their supervisors, the role of traffic enforcement, etc.? Officers feel their work is essential and significantly contributes to the safety of the motoring public. They also feel their supervisors are required to assure policy compliance and goal attainment.		
(1) Do officers feel their work is a valuable contribution to the departmental operation?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(2) Are there frustrations in their work?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) How can these frustrations be reduced? By allowing opportunities for officers to express opinions/concerns and assuring their concerns are considered by the command staff.		
(3) Are employees familiar with recent changes in policy or procedure?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(4) Do the nonuniformed employees feel they are allowed to participate in Area functions equally with the uniformed employees?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(5) Do all employees get along well?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(6) Are there problem individuals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) Are supervisors aware of these individuals, and are they taking steps to change their behavior?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b. Is there a positive motivation force present in the squad?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) Is a climate created so that individuals <u>want</u> to do a good job?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
c. Are the grievance and complaint procedures understood by all supervisors and employees?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(1) How do supervisors feel about the procedures? Overall, procedure are aduqate, however, cumbersome in many aspects.		
(2) If there has been a recent case filed, was it handled successfully?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
(a) If no, did it properly proceed to the next appropriate level?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
(3) Are all grievances and complaints relating to contract interpretations retained in the Area in accordance with provisions contained in HPM 9.1, Employee Relations Manual?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

**COMMAND INSPECTION PROGRAM**  
**EXCEPTIONS DOCUMENT**

Command: <b>Clear Lake</b>	Division: <b>Northern</b>	Chapter: <b>7</b>
Inspected by: <b>Sergeant Holcomb</b>		Date: 4/6/2010

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INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		Total hours expended on the inspection:  6 hrs.	<input type="checkbox"/> Corrective Action Plan Included  <input type="checkbox"/> Attachments Included
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Due Date:		
Chapter Inspection: Supervision and Training			
Inspector's Comments Regarding Innovative Practices:			

Area maintains an open training file containing individual officer requested training desires. The Area training sergeant uses this file as a guide to solicit officers for announced departmental training classes. This file is always open to apply for specific training needs.

Command Suggestions for Statewide Improvement:
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Inspector's Findings:
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The Area commander, in collaboration with Area sergeants, identifies officers with supervisory potential and provides development through training in management philosophies and supervisory skills, ultimately using these officers as Officers in Charge. These identified officers are provided with motivation and assistance throughout the promotional process. Area succeeded in placing two officers on the 2010 sergeant's promotional list.

All Area driving under the influence collision reports are reviewed by Area sergeants.

The Area commander is the final review for all fatal and major incident reports/investigations.



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Area utilizes a six month Area Collision Review analysis to proactively modify shift and beat deployments to meet ever-changing needs.

Area currently has one officer on Interim Reporting. The Interim Reporting package is complete, pre-implementation supervisory techniques were used without positive results, the package discusses problem specifics and establish performance objectives with methods to achieve satisfactory performance. Controls and follow-up are present in the package.

Commander's Response: ☒ Concur or ☐ Do Not Concur (Do Not Concur shall document basis for response)

Inspector's Comments: Shall address non concurrence by commander (e.g., findings revised, findings unchanged, etc.)

Required Action

Corrective Action Plan/Timeline

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<input type="checkbox"/> Employee would like to discuss this report with the reviewer. (See HPM 9.1, Chapter 8 for appeal procedures.)	COMMANDER'S SIGNATURE 	DATE <b>4-6-10</b>
	INSPECTOR'S SIGNATURE 	DATE <b>4/6/10</b>
<input type="checkbox"/> Reviewer discussed this report with employee <input checked="" type="checkbox"/> Concur <input type="checkbox"/> Do not concur	REVIEWER'S SIGNATURE 	DATE <b>4/13/10</b>